



# **Proposed EA Assessment Framework 2.0**

## **Architecture and Infrastructure Committee (AIC)**

**Dick Burk**

**Chief Architect and Director of Federal Enterprise**

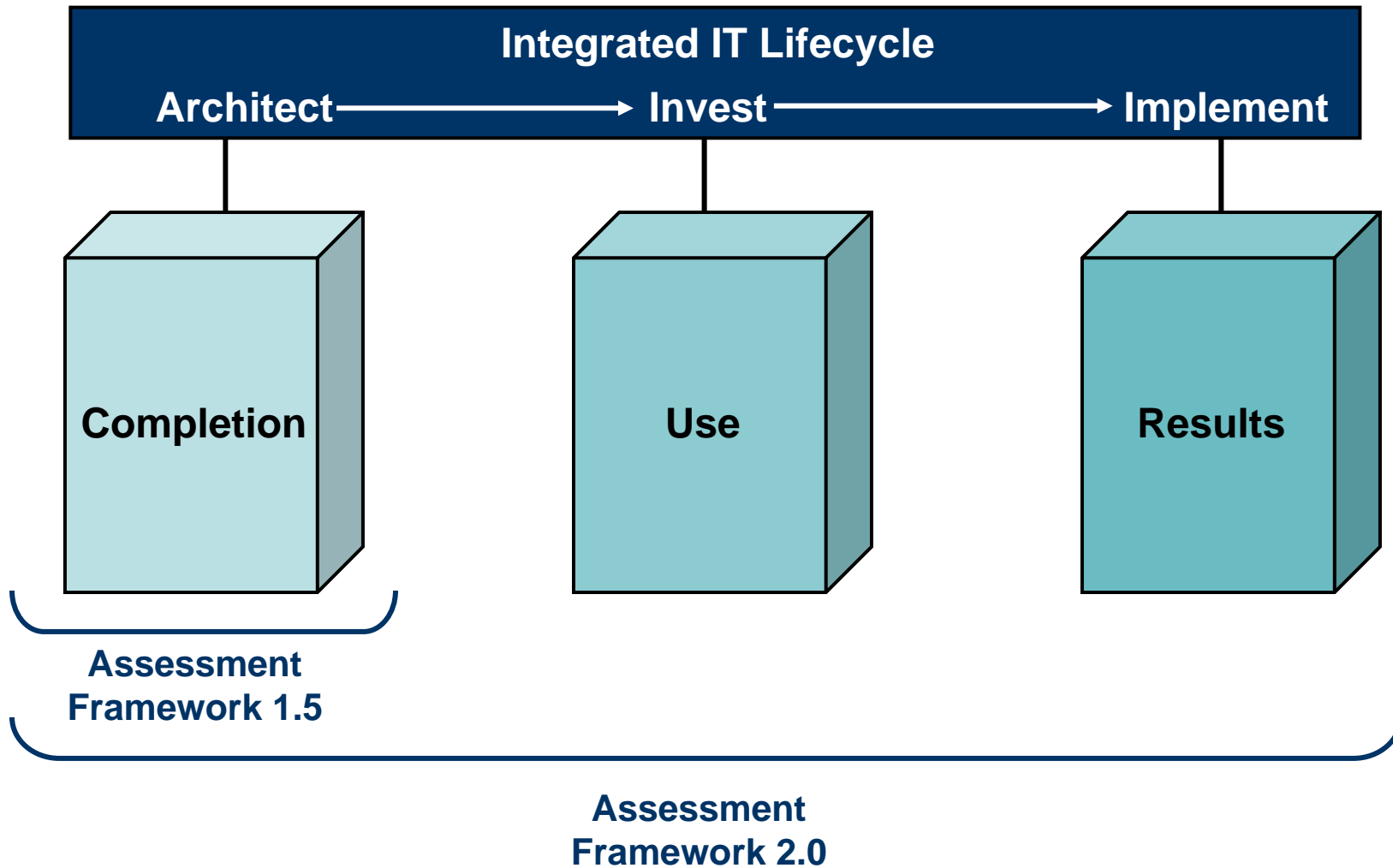
**Architecture Program, OMB**

**September 15, 2005**





# CONOPS





# Criteria Levels

5	<b>Optimized:</b> EA processes continuously drive business improvement within the agency. Demonstrable improvements in efficiency, cost savings and service quality.
4	<b>Results-Oriented:</b> EA processes are measured for effectiveness against a set of established performance criteria.
3	<b>Utilized:</b> Processes and products are documented, understood, and are being used in at least some agency decision-making activities
2	<b>Managed:</b> EA processes are planned and managed, and artifacts are complete at least at a high level of definition.
1	<b>Initial:</b> Informal and ad-hoc EA processes. Practices and artifacts exist but may be incomplete and/or inconsistent
0	<b>Undefined:</b> No evidence presented



# Overview

---

- Four Capability Areas
  - Completion
  - Use
  - Results
  - Policy Alignment
- Artifact Descriptions
  - Brief description of type of artifacts typically submitted
- Transition Strategy Overview
  - Guidance for an agency EA Transition Strategy
- Timeline
  - Release to agencies – November 2005
  - Use for Annual EA Assessment process in March 2005
    - EA submission due Feb. 28, 2006



## Completion Capability Area

---

- **Completion** of an agency's EA to include:
  - Reflection of the FEA reference models and principles of good architecture
  - EA work product development
  - Line of sight between horizontal layers of an agency's EA (performance, processes, data, services, and technology)
  - Transition strategy for an agency to move from its baseline to its target architecture
- **Assessment Criteria - Completion**
  - Performance Architecture
  - Business Architecture
  - Data Architecture (Information Management)
  - Service Component Architecture
  - Technology Architecture
  - Transition Strategy



## Use Capability Area

---

- **Use** of an agency's EA to include:
  - Policies and procedures necessary for an agency to develop, maintain, and oversee its EA
  - Integration of EA with agency IRM programs and IT management processes including: strategic planning, capital planning, and program/project management
- **Assessment Criteria - Use**
  - EA Governance and Management
  - EA Change and Configuration Management
  - Federation of Enterprise and Segment Architectures
  - EA Deployment
  - CPIC Integration



## Results Capability Area

---

- **Results** achieved from utilizing an agency's EA to include:
  - Measurement of the effectiveness and value of an agency's EA
  - Demonstration of the progress of an agency in meeting its goals, closing performance gaps, and achieving critical results
  - Improvement in mission performance, customer service, and delivering cost savings
- **Assessment Criteria - Results**
  - Business Driven
  - Collaboration and Reuse
  - Business Process and Service Improvement
  - IT Implementation Improvement



## Policy Alignment Capability Area

---

- ***Policy Alignment*** between the agency's EA and IT policies established by OMB, to include:
  - Agency usage and participation within cross-governmental initiatives such as: E-Gov initiatives, LoB initiatives, and SmartBUY agreements
  - EA alignment to specific OMB policies and memoranda, e.g. IPv6
- **Assessment Criteria - Policy Alignment**
  - E-Gov, LoB, and SmartBUY Alignment and Implementation
  - IPv6 Planning

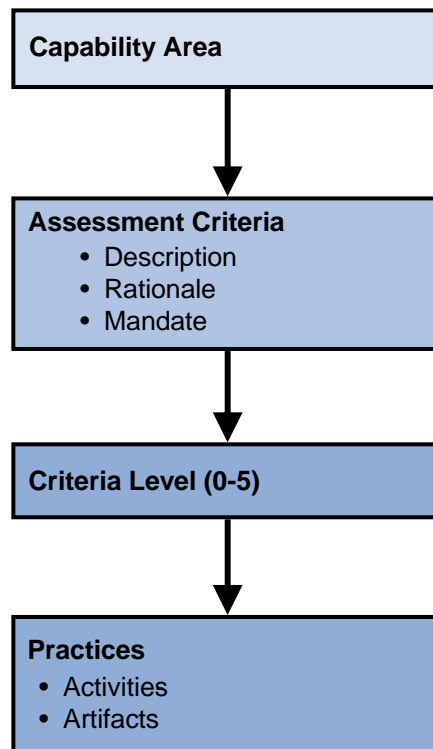




# EA Assessment Framework 2.0: Structure

## Example: Baseline Business Architecture

### Structure



Capability Area	Completion
<b>Business Architecture</b>	<p><i>Description:</i> EA contains an inventory of agency business processes, aligned to the FEA Business Reference Model (BRM), linked to layers of the agency EA and used to inform investment decision making.</p> <p><i>Rationale:</i> Effective EA must be business-driven, requiring alignment between the IT architecture layers and business processes. Segment architectures are developed for each agency line of business, including Service for Citizens, as well as, support lines of business.</p> <p><i>Mandate:</i> OMB A-11, Section 300; GPRA; and Clinger-Cohen Act</p>
<b>Level 1 Practices</b>	<p><i>Activities:</i> Agency has identified business processes based on the FEA BRM including functions and sub-functions</p> <p><i>Artifacts:</i> Baseline Business Architecture</p>
<b>Level 2 Practices</b>	<p><i>Activities:</i> Baseline business processes are linked to the layers of the agency's baseline EA including performance, services, technology and data, as well as, other business elements such as: stakeholders, organizations, facilities, programs, investments and activities.</p> <p><i>Artifacts:</i> Baseline Business Architecture</p>
<b>Level 3 Practices</b>	<p><i>Activities:</i> Target business processes are linked to the layers of the agency's target EA including performance, services, technology and data, as well as, other business elements such as: stakeholders, organizations, facilities, programs, investments and activities. Segment architectures have been defined for all agency lines of business, including mission-critical business segments, as well as, administrative or common/shared lines of business. Target business architecture is aligned to the agency strategic plan and the IRM strategic plan.</p> <p><i>Artifacts:</i> Target Business Architecture</p>
<b>Level 4 Practices</b>	<p><i>Activities:</i> Business target architecture informs transition planning and investment decision-making. Transition strategy demonstrates transformation from baseline to target business architecture. Selected investments demonstrate alignment to target business architecture.</p> <p><i>Artifacts:</i> Target Business Architecture, EA Transition Strategy, CPIC Guide</p>
<b>Level 5 Practices</b>	<p><i>Activities:</i> Business architecture is monitored, measured, and updated on a regular basis.</p> <p><i>Artifacts:</i> Updated Target Business Architecture and Transition Strategy</p>



# Annual Assessment Process

- Annual Assessment Process
  - Provides a comprehensive review of the state of an agency's EA program
  - Agency EA submissions due to OMB by end of February 2006
  - Ratings will be determined according to the table below:

Green	Score equal to or greater than 3 in both the "Completion" <b>and</b> "Use" capability areas <b>OR</b> a score equal to 3 or greater in the "Results" capability area
Yellow	Score equal to or greater than 3 in either the "Completion" <u>or</u> "Use" capability
Red	Score less than 3 in each capability area